

IN THE  
**United States Patent and Trademark Office**

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**Applicant(s):** Tso et al.

**Serial No.:** 10/615,250

**Filed:** July 8, 2003

**For:** Method and System for Providing Principal Protection Exposure to  
Equity Markets

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**Docket No.:** 17209-515

**Art Unit:** 3694

**Examiner:** Fertig, Brian E.

Mailstop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**AMENDMENT AND RESPONSE**

Further to the Non-Final Office Action dated February 26, 2009 (hereinafter “Office Action”), in view of the following amendments and/or remarks, Applicants request entry thereof and reconsideration of the above-referenced application.

**Amendments to the Claims** are reflected in the listing of claims begin on page 2.

**Remarks** begin on page 7 of this paper.